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ABSTRACT

Developed to provide the basis for a coordinated effort of self-analysis at all managerial levels and for a systematic approach to the management of the Migrant Education Program, this guide outlines the responsibilities of migrant administrators on the Federal, state, and local levels. Intended to prepare state and local administrators for U.S. Office of Education field visitation, the guide allows for considerable flexibility in guiding managers while still providing sufficient specificity to permit managers to implement the management activities within the unique parameters of their individual State plan. The guide addresses the 12 most important management functions and their related activities: identification and recruitment, program development, fund allocation, fiscal management, Migrant Student Record Transfer System, interagency coordination, parent involvement, interstate coordination, information dissemination, monitoring, evaluation, and reporting. Designed to facilitate easy reference to each of the 12 functions, the guide provides for a self-assessment of the execution of each function as well as an overall evaluation of program management. Appendices include a 24-item glossary and a copy of the proposed Federal rules from the FEDERAL REGISTER, Vol. 40, No. 131--Tuesday, July 8, 1975. (NQ)

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MIGRANT ADMINISTRATORS' MANAGEMENT GUIDE

U.S. DEPARTMENT OF HEALTH,
EDUCATION & WELFARE
NATIONAL INSTITUTE OF
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FOR THE NORTH CAROLINA STATE BOARD OF EDUCATION

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PREFACE

This Management Guide was prepared to assist Migrant Program administrators in the management of the Migrant Education Program at the Federal, State, and Local levels. The Guide was designed to allow for considerable flexibility in guiding managers while still providing sufficient specificity to permit managers to implement the management activities within the unique parameters of their individual State plan.

The Guide provides the user with the unique opportunity to assess his or her progress toward the achievement of specified management functions while at the same time assisting in the identification of deficiencies in the process. The Guide is intended for self-use rather than an instrument to evaluate the performance of others.

FOREWORD

The Management Guide for Migrant Education Program Administrators is an outgrowth of a similar project initiated for the Regular Title I Program Administrators. In the early stages of the initial project it was determined that the Regular Title I Program must become the focal point for the design and development of the Guide. Coupled with this intent was the idea the Guide could be applied to other compensatory education programs and perhaps to similar programs not necessarily considered compensatory in nature. To this end, Migrant Program Administrators reviewed the project in terms of its applicability to their needs. It was concluded that the Regular Title I Guide, while worthwhile in many respects to the needs of Migrant Program Administrators, needed to be modified in order to address all of the unique management parameters relating to Migrant Program administration.

Hence, six States (California, Florida, Michigan, New Jersey, North Carolina, and Texas) entered into a consortium under Section 505, ESEA, for the purpose of developing and testing an instrument to provide for more effective administration of migrant education programs. The State of North Carolina served as director and fiscal agent for the project.

D. A. Lewis Associates, Inc., was awarded the contract to develop a Management Guide for Federal, State, and Local Migrant Program Administrators. The product of the Lewis team effort, developed in close contact and collaboration with the U. S. Office of Education Title I Migrant and 505 Staffs and with the migrant education directors of the six States, comprises this volume. Useful comments and copies of manuals having similar intent were also provided by other State directors and LEA representatives.

The technical approach to this project involved the following methodology:

- Conducting a detailed review of information relating to the administration of Migrant Education Programs at the State and local levels.
- Identifying and quantifying management functions and processes.
- Identifying similarities and differences between the management functions of Regular Title I and the Migrant Programs.
- Assessing the applicability of the Regular Title I instruments for use in the Migrant Programs.
- Developing new criteria for use in the Self-Analysis/Process Model instruments.

- Developing a Self-Analysis/Process Model suitable for Migrant Administrators.
- Field testing the instruments in order to assess their applicability and to maximize input from those persons who will be directly involved in using the Management Guide.

SECTION I

PURPOSE

I. PURPOSE

Similarities exist between the Regular Title I and the Migrant Program because of the very nature of the programs. These similarities include a focus on providing direct educational services, establishment and supervision of individual State programs, a requirement for the evaluation of each funded project, and the emphasis on project quality.

Migrant education administrators at both the national and State levels are responsible for a broad range of management functions and responsibilities, which may include:

- Recruiting of migrant children and determining the high impaction areas of migratory children within the State.
- Conducting an assessment of needs of migrant children.
- Developing State migrant program objectives and priorities based upon the needs assessment and the national goals for migrant education.
- Promoting rapport and coordination between the school and the migrant community.
- Promoting coordination between other local, State, and Federal agencies to secure and ensure services from all available sources for migratory children (e.g., U. S. Department of Agriculture, food and nutrition services; Public Health Service, medical and dental assistance; Migrant Ministry and Office of Economic Opportunity, day care services).
- Requiring and supervising LEA participation in the Migrant Student Record Transfer System to ensure proper collection of information from the individual child and/or his parents or guardian.

- Ascertaining that the curriculum material, teaching methodologies, and diagnostic instruments used in the program are suitable for the migrant children to be served.

In addition to all the above, all SEAs participating in Title I, ESEA Migrant Programs must provide coordinated program planning activities directly related to programs or projects currently in operation. This must occur at both the State and local levels. SEAs must review project applications to ensure inclusion of program components resulting from such coordinated planning. Project applications must include the objectives of the program and the educational services currently being provided migrant children. There must also be an indication of programs to be expanded and those that will be initiated as a result of an assessment of unmet needs.

A uniqueness of Migrant Program administration lies in the fact that the ESEA Title I Migrant Program provides educational services to a categorical group of children. Moreover, state educational agencies under ESEA Title I Migrant must apply to the Commissioner for their entitlements annually. Thus, the Migrant Program is identified as a State agency under Subpart 2 - State Operated Programs of Public Law 93-380. Hence, unique administrative processes are necessary as opposed to those of Regular Title I.

The complexities of this uniqueness are magnified because of the diverse management structures in which the

Migrant Program operates. For example, States like California and Florida have established regional management structures as contrasted [illegible] direct SEA/LEA management relationships found in most other States. On the other hand, States like Texas are experiencing structural changes which call for a shift in the curriculum authority of the Migrant Programs. These and other factors often tend to aggravate the already existing problem of the lack of common management criteria necessary for judging the effectiveness of Migrant Education Programs.

In summary, it becomes evident that to maintain a viable national approach, which calls for continuity among the States and LEAs, a systematic management approach for Migrant Education at the State and local level is necessary. Thus, it is the purpose of this Management Guide to provide the basis for a coordinated effort of self-analysis at all levels of management and lead to the establishment of a systematic approach to the management of the Migrant Education Program.

SECTION II

HOW TO USE THE MANAGEMENT GUIDE

Introduction

This volume is organized in such a way that migrant program administrators, new or experienced, at any level, and in keeping with their own style of operation and their own pace, may use the Guide for reference and as a checklist of mandated activities, as well as an outline of good management practice. They may determine the kinds of activities their program or project should be pursuing to carry out program functions, the time frame within which they take place, and how their responsibilities and time constraints relate to those of other levels. A Level-Assessment Instrument is included to permit an evaluation of strengths and weaknesses in overall program implementation.

The means for customization is built into the design of the Guide. The looseleaf binding allows for any desired revamping of activity chronology; the extra spaces provided on each Activity Page permit users to insert additional specific tasks relevant to their own jurisdiction, all of which enhance the intent that the Guide provide the States and local authorities with an outline which can be supplemented and customized to fit their specific needs.

The administration of the migrant programs has been broken down into twelve management functions. These functions are intended to serve not as a pat formula for effective management techniques, but rather as a basis for the development of policy at the local and State levels. The

Guide attempts to define each function in terms of the universality of those management techniques necessary to operate Migrant Education Programs and, therefore, is not a tailor-made "How To" manual for any one locality. The twelve functions, according to which all materials in this Guide are organized, are as follows:

I. Identification and Recruitment
II. Program Development
III. Fund Allocation
IV. Fiscal Management
V. Utilization of the Migrant Student Record Transfer System
VI. Interagency Coordination
VII. Parent Involvement
VIII. Interstate Coordination
IX. Information Dissemination
X. Monitoring
XI. Evaluation
XII. Reporting

Format

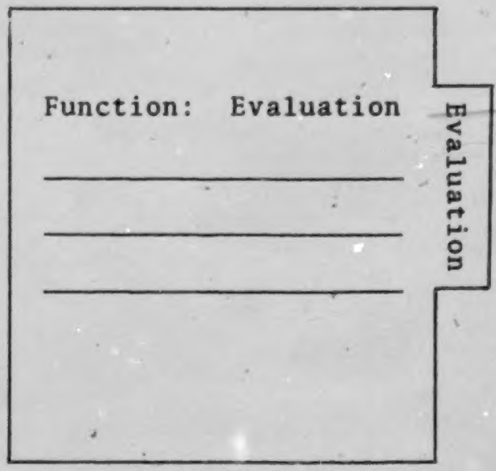
The format of the Guide has been designed to facilitate easy reference to each element of the twelve functions and provides for a self-assessment of the execution of each function as well as an overall evaluation of program management.

It is hoped that the Guide will serve as the basic tool for the identification of the various elements of good management practice that are applicable to each user. The looseleaf format emphasizes the dynamic character of this document, which is not a prescription, but rather has been designed to allow all users to develop a set of functions and activities that will meet their own program's needs.

Specific Instructions

1. The Divider Page

   The Guide is divided in twelve sections, each designated by a Divider Page. An operational definition for each function is found on the corresponding Divider Page.



2. Activity Page

   Following the Divider Page, the various activities that make up the function are set out on the Activity Pages (left-hand side when notebook is laid flat. Applicable references to the Proposed Rules on which the functions are based are cited on the top right hand corner of this page.*

---

* All proposed rules and regulations have been included in Appendix B of this document.

FUNCTION: I. Identification and Recruitment		Proposed Rules 116d.2 116d.22(b) 116d.31(a),(b),(d) 116d.33(g)
FEDERAL ACTIVITIES	STATE ACTIVITIES	LOCAL ACTIVITIES

The activities for the particular function are divided into levels of responsibility — Federal, State, and local — and are lined up across the page to reflect the linkages (if any) across the three levels. For easy reference, the management activities are coded by a three-character designation. An example would be the State-level activity described as "Provides the leadership to coordinate SEA and LEA Staff to review and devise optimum program design," which in the codification scheme is—

II - S - 2

2 — Activity within Function - i.e., "2" indicates the second in the list of Program Development activities for the State

S — Level:
F = Federal
S = State
L = Local

II — Function, keyed to the list employed consistently throughout the Guide, the "II" indicating "Program Development"

Many of the functions and activities within functions emanate from requirements set forth in statutes, regulations, or directives.

FUNCTION: I. Identification and Recruitment		Proposed Rules 116d.2 116d.22(b) 116d.31(a),(b),(d) 116d.33(g)
FEDERAL ACTIVITIES	STATE ACTIVITIES	LOCAL ACTIVITIES
I-F-1 Establishes minimum criteria for eligibility of migrant students and requirements for documentation	I-S-1 Establishes criteria and procedures for determining eligibility for migrant students and maintains required documentation	I-L-1 Implements procedures for determining and documenting number of eligible migrant children

In some cases, however, responsibility for a particular activity may be shown to focus entirely on only one or two levels. The absence of an activity description at a particular level will indicate that the activity generally does not fall within that level.

FUNCTION: V. Utilization of the Migrant Student Record Transfer System (MSRTS)		Proposed Rules 116d.33(a) 116d.33(g) 116d.39(f)
FEDERAL ACTIVITIES	STATE ACTIVITIES	LOCAL ACTIVITIES
V-F-1 Receives funds set aside on an equitable basis from the maximum total of grants available to the States to fund the operation of MSRTS	V-S-1 Participates in decision regarding allocation of funds in support of MSRTS	

It should be noted that this alignment of activities across the various levels of responsibility does not refer to the order in which the activities are to be carried out but merely reflects the division of responsibility in a particular area by level.

3. Self-Assessment Form

Opposite each Activity Page is a Self-Assessment Form. This form allows users to record those activities applicable to themselves and to those within their jurisdiction, to specify deadlines, and to rate task performance. The form is highly flexible and may be tailored to the needs of individual programs or managers.

When the user has identified those activities on the opposite Activity Page that fall within his or her jurisdiction, the Self-Assessment Form is completed as follows:

For each activity, use one Assessment Module.

(1) ACTIVITY CODE ☐ (2) TARGET/SUSPENSE DATES ☐

(4) ACCOMPLISHMENT CHECK-OFF ☐ (5) PERFORMANCE RATING ☐

(3) NOTES, ASSIGNMENTS & ACTION MEMOS	(4a) CORRECTIVE STEPS	DATES

Step 1: Enter the code corresponding to the activity (ACTIVITY CODE)

Step 2: Enter estimated target date(s) or applicable deadlines for completion of activity (TARGET/SUSPENSE DATE(S)

Step 3: Enter specific task assignments, evaluation requirements, proposed site visits, intermediate tasks necessary for successful execution of activity, etc. (NOTES, ASSIGNMENTS AND ACTION MEMOS)

Step 4: If activity is completed to criteria, indicate completion of activity (ACCOMPLISHMENT CHECK-OFF) and proceed to Step 5.

Step 4a: If, at this point, activity has not been completed to criteria, enter suggestions for corrective action and target dates for implementation of each step (CORRECTIVE STEPS). When activity has been completed, return to Steps 4 and 5.

Step 5: Rate the execution of the accomplished activity—for example:

S = Activity complete and meets manager's criteria

U = Activity does not meet manager's criteria

It should be noted that three sets of activities appear on each Activity Page and that there are four Assessment Modules on the opposite page. The extra module is to be used in cases where a user's responsibilities cover more than the three activities listed for a level due to operating at a regional or other intermediate level or to being delegated one or more responsibilities usually performed at another level. Another feature of the Guide's flexibility is that the user may insert specific tasks in support of a given activity, providing a fourth level of detail at this point. (If additional space is needed, a second Self-Assessment Form may be inserted.) Additional copies of the Self-Assessment Form are included in the back of this manual. The flexibility in the number of modules utilized is a feature lending to the customization of the Guide by users, further tailoring it to their own needs.

4. Summary Ratings

The first Self-Assessment page under each function serves an additional use. At the top of the page, two Summary Rating Scales are found.

SELF-ASSESSMENT FORM
Summary Ratings for Function

FOR PARTICIPATION	FOR PERFORMANCE
(Circle One)	(Circle One)
0 1 2 3 4	0 1 2 3 4

The first scale relates to the participation of the user, i.e., the degree to which his or her required participation or the participation of those within his or her jurisdiction contributed to the execution of the sum of the activities within the function. When all applicable activities have been carried out and rated, the PARTICIPATION Scale may be used as follows:

PARTICIPATION

0 = No Participation Required/Not Applicable
1 = Minimal Participation Required
2 = Moderate Participation Required
3 = Major Participation Required
4 = Maximum Participation Required

The second scale, PERFORMANCE, relates to the degree to which activity completion has met the user's criteria or expectations and is determined by the number of SATISFACTORY ratings for the function. It may be used as follows, noting the PERFORMANCE rating on individual activities in relation to the value the user attaches to each activity.

PERFORMANCE

0 = No Satisfactory Ratings
1 = Few Satisfactory Ratings
2 = Moderate Number of Satisfactory Ratings
3 = High Proportion of Satisfactory Ratings
4 = All Satisfactory Ratings

5. Self-Assessment Profile

As each Summary Rating is completed, the rating may be transferred to the Self-Assessment Profile (found in Section IV). As the Summary Ratings for each function are transferred to the Profile Page, the user will be able to obtain a comparative index of the PARTICIPATION and PERFORMANCE ratings in each area, and can therefore identify strengths and deficiencies in the overall management system and have a basis from which to work for improvement. While the Self-Assessment Profile is not the major purpose of this Guide, it provides a useful means for individual program managers to assess performance.

6. Other Useful Information

   a. A Glossary of terms used in this Guide, as well as other terms frequently encountered in the management of Migrant Education programs, is included as Appendix A.

   b. References to Proposed Federal Rules appear in the functional title box atop the first activity sheet for each function. The Proposed Federal Rules are provided in Appendix B.

It should be noted that use of the Guide is in no way mandatory; however, it is hoped that the Guide will prove helpful in the identification and rectification of any deficiencies which may exist within the management system of a user's program.

SECTION III

MANAGEMENT FUNCTIONS: SELF-ASSESSMENT GUIDE

Introduction

This section includes statements of the management functions and activities for each level of responsibility (Federal, State, and local), with accompanying self-assessment forms, including space for critical dates, personnel assignments, and other notes and action memoranda. Instructions with specific examples of how the forms may best be used have been provided in the preceding section. Reference should be made to that section in the event any questions arise during forms completion. Further, Appendices A and B provide the user with a Glossary of terminology and a complete listing of the proposed rules and regulations surrounding the Migrant Program.

I. IDENTIFICATION AND RECRUITMENT

This section includes:

- The establishment and implementation of criteria and procedures to identify eligible migrant children based on current guidelines and regulations affecting eligibility.
- The development of monitoring procedures and documentation instruments to ensure efficiency in the identification of eligible children.
- The utilization of all available means to ensure that all eligible children are offered the opportunity to participate in the appropriate programs.
- The efficient documentation of relevant data regarding eligible participants.

FUNCTION: I. Identification and Recruitment

Proposed Rules
116d.2
116d.22(b)
116d.31(a),(b),(d)
116d.33(g)

FEDERAL ACTIVITIES	STATE ACTIVITIES	LOCAL ACTIVITIES
I-F-1 Establishes minimum criteria for eligibility of migrant students and requirements for documentation	I-S-1 Establishes criteria and procedures for determining eligibility for migrant students and maintains required documentation	I-L-1 Implements procedures for determining and documenting number of eligible migrant children
I-F-2 Prime responsibility for determining the estimated number of eligible children as identified in MSRTS	I-S-2 Maintains procedures for keeping LEA's informed of current and new legislation regarding migrant eligibility criteria	I-L-2 Implements procedures to ensure that program staff are informed of changes in eligibility and other legislative provisions
I-F-3 Provides program support package on the identification and recruitment of eligible migrant children	I-S-3 Develops identification forms for certification of migrant status of children	I-L-3 Uses and maintains identification forms from SEA, including those for obtaining parental consent where applicable

SELF-ASSESSMENT FORM
Summary Ratings for Function

FOR PARTICIPATION (Circle One) 0 1 2 3 4	FOR PERFORMANCE (Circle One) 0 1 2 3 4

(See instructions—Section II)

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐

ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐

ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐

ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐

ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

FUNCTION: I. Identification and Recruitment (Cont.)

FEDERAL ACTIVITIES	STATE ACTIVITIES	LOCAL ACTIVITIES
I-F-4 Provides technical assistance to SEA's on identification and recruitment activities	I-S-4 Provides technical assistance and trains LEA personnel in developing methods of identification and recruitment of migrant children	I-L-4 Implements procedures for working with the SEA in utilizing technical assistance and provides adequate personnel for the defined role of identification and recruitment
I-F-5 Obtains State and local input on, and provides feedback concerning, MSRTS management information	I-S-5 Provides MSRTS management information and interpretation to local personnel as one means of identifying and recruiting children	I-L-5 Enrolls students in MSRTS, transmits updated information for records maintenance, and utilizes MSRTS information as one means of ensuring maximum enrollment
I-F-6 Encourages coordination within HEW of programs involved in identification of and service to migrant children	I-S-6 Encourages cooperation among interstate and intrastate service agencies in identifying and recruiting eligible children	I-L-6 Maintains linkage with local and intrastate agencies in identifying and recruiting eligible children

SELF-ASSESSMENT FORM

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐

ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐

ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐

ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐

ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

FUNCTION: I. Identification and Recruitment (Cont.)

FEDERAL ACTIVITIES	STATE ACTIVITIES	LOCAL ACTIVITIES
I-F-7 Conducts periodic validations of SEA identification methods and results	I-S-7 Establishes monitoring process for periodically validating identification and recruitment procedures	I-L-7 Assists the SEA in periodically validating identification and recruitment procedures

SELF-ASSESSMENT FORM

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐

ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐

ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐

ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐

ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

II. PROGRAM DEVELOPMENT

This section includes:

- The development and implementation of program design and performance objectives based on state and national goals.
- The conduct of needs assessment and the implementation of guidelines for program development based on current assessment.
- The management of information exchange as it relates to program design and performance objectives to ensure an optimal flow of information to facilitate program development.

FUNCTION: II. Program Development

Proposed Rules
116d.6 116d.31(c),(e)
116d.7 116d.33(c)
116d.24 116d.39(a),(f)
116d.40

FEDERAL ACTIVITIES	STATE ACTIVITIES	LOCAL ACTIVITIES
II-F-1 Assists the SEA in program development by issuing sets of criteria, especially those requiring specific decisions on program design and compliance		
II-F-2 Provides technical assistance to SEA's in program development activities	II-S-2 Provides the leadership to coordinate SEA and LEA staff to review and devise optimum program design	II-L-2 Implement procedures for working with the SEA in utilizing technical assistance
	II-S-3 Identifies Statewide special needs, including the conduct of intrastate conferences in order to provide and gain maximum information for State project	II-L-3 Assists in identifying special needs

SELF-ASSESSMENT FORM

Summary Ratings for Function

FOR PARTICIPATION (Circle One)	FOR PERFORMANCE (Circle One)
0 1 2 3 4	0 1 2 3 4

(See instructions—Section II)

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐

ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐

ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐

ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOT[illegible]SSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐

ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

FUNCTION II. Program Development (Cont.)

FEDERAL ACTIVITIES	STATE ACTIVITIES	LOCAL ACTIVITIES
	II-S-4 Establishes State goals and priorities based on Statewide special needs	II-L-4 Assists in establishing goals and priorities
	II-S-5 Establishes performance objectives based on State goals and Priorities	II-L-5 Develops specific local objectives related to the assessed needs of the migrant children
	II-S-6 Requests information for development of State application	II-L-6 Provides information in advance for development of State application

SELF-ASSESSMENT FORM

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐

ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐

ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐

ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐

ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

FUNCTION: II. Program Development (Cont.)

FEDERAL ACTIVITIES	STATE ACTIVITIES	LOCAL ACTIVITIES
II-F-7 Ensures interstate cooperative planning in program design		
II-F-8 Reviews and approves SEA program design as part of application process	II-S-8 Establishes procedure and schedule for submission, review, and approval of program design	II-L-8 Submits program activities based on SEA program design
II-F-9 Makes decisions concerning withholding of funds from any State which does not meet the program design requirements of the application for a grant		

SELF-ASSESSMENT FORM

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐

ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐

ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐

ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐

ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

FUNCTION: II. Program Development (Cont.)

FEDERAL ACTIVITIES	STATE ACTIVITIES	LOCAL ACTIVITIES
II-F-10 Reviews and approves contracts proposed by SEA's	II-S-10 Establishes grant application format and content that complies with USOE regulations and guidelines	
II-F-11 Plans and conducts national and regional workshops to increase knowledge and skills of administrators in program development	II-S-11 Provides staff development opportunities to ensure that program staff has skills to implement State goals	II-L-11 Implements staff development activities in accordance with approved project application
II-F-12 Provides assistance in the use of curriculum materials and diagnostic instruments for migrant students	II-S-12 Ensures that curriculum material, teaching methodologies, and diagnostic instruments used in the program are suitable for migrant children to be served	II-L-12 Makes recommendations to SEA for development of curriculum material, teaching methodologies, and diagnostic instruments used in the program

SELF-ASSESSMENT FORM

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐

ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐

ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐

ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐

ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

FUNCTION: II. Program Development (Cont.)

FEDERAL ACTIVITIES	STATE ACTIVITIES	LOCAL ACTIVITIES
II-F-13 Collects and compiles information submitted by SEA's on local projects	II-S-13 Submits to USOE a copy of each approved project on the local application form prescribed by USOE identifying and describing all the activities which are planned to serve the special educational needs of migrant children	II-L-13 Provides local project applications to SEA as required

SELF-ASSESSMENT FORM

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐

ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐

ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐

ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐

ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

III. FUND ALLOCATION

This section includes:

- The computation of State allocation, establishment and implementation of procedures for submitting applications for grants.
- The processing of documents to effect funds transfers.
- The establishment and implementation of procedures for allocation and reallocation of funds.

FUNCTION: III. Fund Allocation

Proposed Rules
116d.3
116d.4
116d.21
116d.22(b)

FEDERAL ACTIVITIES	STATE ACTIVITIES	LOCAL ACTIVITIES
III-F-1 Computes the entitlements of each SEA, based on the number of migrant children in the State as determined by MSRTS enrollment or such other statistics as the Commissioner of Education determines to be accurate	III-S-1 Establishes procedures for utilization of program funds based on LEA program objectives	III-L-1 Utilizes procedures established by SEA to assign program funds and/or services among the schools within the district
III-F-2 Provides SEA's with Notification of Entitlement, advising them of the amount of funds which are available for each State	III-S-2 Notifies LEA's of available funds	
III-F-3 Provides SEA's with FTE counts		

SELF-ASSESSMENT FORM
Summary Ratings for Function

FOR PARTICIPATION	FOR PERFORMANCE
(Circle One)	(Circle One)
0 1 2 3 4	0 1 2 3 4

(See instructions—Section II)

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐

ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐

ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐

ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐

ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

FUNCTION: III. Fund Allocation (Cont.)

FEDERAL ACTIVITIES	STATE ACTIVITIES	LOCAL ACTIVITIES
III-F-4 Establishes procedures for submitting applications for grants by SEA's	III-S-4 Establishes procedures for submitting applications for grants by LEA's	
	III-S-5 Develops procedures to carry over funds from the fiscal year for which they were appropriated to the next succeeding year and notifies LEA's of available funds	

SELF-ASSESSMENT FORM

ACTIVITY CODE	☐	TARGET/SUSPENSE DATES	☐
ACCOMPLISHMENT CHECK-OFF	☐	PERFORMANCE RATING	☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE	☐	TARGET/SUSPENSE DATES	☐
ACCOMPLISHMENT CHECK-OFF	☐	PERFORMANCE RATING	☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE	☐	TARGET/SUSPENSE DATES	☐
ACCOMPLISHMENT CHECK-OFF	☐	PERFORMANCE RATING	☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE	☐	TARGET/SUSPENSE DATES	☐
ACCOMPLISHMENT CHECK-OFF	☐	PERFORMANCE RATING	☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

IV. FISCAL MANAGEMENT

This section includes:

- The development and/or maintenance of sound financial procedures and guidelines.
- The establishment of guidelines for expenditures, conduct of audits, maintenance of records, management of use of funds, and preparation of financial reports.

FUNCTION: IV. Fiscal Management

Proposed Rules
116d.33(e)
116d.34

FEDERAL ACTIVITIES	STATE ACTIVITIES	LOCAL ACTIVITIES
IV-F-1 Maintains financial management procedures and guidelines in conformance with Federal legislation	IV-S-1 Maintains financial management procedures and guidelines in conformance with Federal and State laws	IV-L-1 Maintains financial management procedures that conform to Federal, State, and local guidelines
IV-F-2 Establishes guidelines for various types of expenditures that are reasonable and necessary to carry out an approved project	IV-S-2 Provides financial management procedures and guidelines for LEA	IV-L-2 Maintains fiscal records of income and expenditures of all Title I Migrant funds
IV-F-3 Plans and conducts staff development activities in fiscal management	IV-S-3 Plans and conducts staff development activities to ensure good fiscal management practices	IV-L-3 Implements staff development activities to ensure good fiscal management practices as required by local ordinances and practice

SELF-ASSESSMENT FORM

Summary Ratings for Function

FOR PARTICIPATION	FOR PERFORMANCE
(Circle One)	(Circle One)
0 1 2 3 4	0 1 2 3 4

(See instructions—Section II)

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐

ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐

ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐

ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐

ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

FUNCTION: IV. Fiscal Management (Cont.)

FEDERAL ACTIVITIES	STATE ACTIVITIES	LOCAL ACTIVITIES
IV-F-4 Conducts annual fiscal review of each SEA	IV-S-4 Establishes regulations and guidelines to ensure LEA's avoidance of imprudent, wasteful, extravagant, or improper expenditures of funds	IV-L-4 Implements procedures to ensure compliance with regulations concerning avoidance of imprudent, wasteful, extravagant, or improper expenditures of funds and avoidance of use of funds to supplant State and local funding
IV-F-5 Conducts audits of each SEA once every three to four years (HEW)	IV-S-5 Maintains procedures for retention of all records relating to grants or the expenditure of such grants for five years or until audited by HEW	IV-L-5 Maintains audit records for projects
	IV-S-6 Provides fiscal procedures and guidelines for cooperative projects among LEA's	IV-L-6 Implements fiscal procedures and guidelines for use by cooperative projects among LEA's

SELF-ASSESSMENT FORM

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐

ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐

ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐

ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐

ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

FUNCTION: IV. Fiscal Management (Cont.)

FEDERAL ACTIVITIES	STATE ACTIVITIES	LOCAL ACTIVITIES
	IV-S-7 Reviews, negotiates, and approves local indirect cost plans	IV-L-7 Submits project indirect cost plans to SEA
	IV-S-8 [illegible] annual audit of [illegible]s	IV-L-8 Maintains audit records for projects
IV-F-9 Collects and compiles financial status reports submitted by SEA's	IV-S-9 Submits twice annually financial status reports on forms prescribed by USOE	

SELF-ASSESSMENT FORM

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐

ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐

ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐

ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐

ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

FUNCTION: IV. Fiscal Management (Cont.)

FEDERAL ACTIVITIES	STATE ACTIVITIES	LOCAL ACTIVITIES
		IV-L-10 Maintains fiscal effort with respect to current expenditures in project areas, being sure they are comparable to non-project areas

SELF-ASSESSMENT FORM

ACTIVITY CODE		TARGET/SUSPENSE DATES	
ACCOMPLISHMENT CHECK-OFF	☐	PERFORMANCE RATING	☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE		TARGET/SUSPENSE DATES	
ACCOMPLISHMENT CHECK-OFF	☐	PERFORMANCE RATING	☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE		TARGET/SUSPENSE DATES	
ACCOMPLISHMENT CHECK-OFF	☐	PERFORMANCE RATING	☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE		TARGET/SUSPENSE DATES	
ACCOMPLISHMENT CHECK-OFF	☐	PERFORMANCE RATING	☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

V. UTILIZATION OF THE MIGRANT STUDENT RECORD TRANSFER SYSTEM (MSRTS)

This section includes:

- The proper use of the automated computer-based data system which facilitates the efficient transmittal of student records of migrant children as they transfer among school districts.

FUNCTION: V. Utilization of the Migrant Student Record Transfer System (MSRTS)

Proposed Rules
116d.33(a)
116d.33(g)
116d.39(f)

FEDERAL ACTIVITIES	STATE ACTIVITIES	LOCAL ACTIVITIES
V-F-1 Receives funds set aside on an equitable basis from the maximum total of grants available to the States to fund the operation of MSRTS	V-S-1 Participates in decision regarding allocation of funds in support of MSRTS	
V-F-2 Negotiates and approves contract to operate the System	V-S-2 Makes recommendations concerning content of operations contract	V-L-2 Submits recommendations for improvement of MSRTS operations to SEA
V-F-3 Develops and disseminates policies, procedures, and guidelines in the operation of MSRTS	V-S-3 Disseminates all policies, procedures, and guidelines in the operation of MSRTS	V-L-3 Informs all personnel of MSRTS guidelines and procedures

SELF-ASSESSMENT FORM
Summary Ratings for Function

FOR PARTICIPATION	FOR PERFORMANCE
(Circle One)	(Circle One)
0 1 2 3 4	0 1 2 3 4

(See instructions—Section II)

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐
ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐
ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐
ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐
ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

FUNCTION: V. Utilization of the Migrant Student Record Transfer System (MSRTS) (Cont.)

FEDERAL ACTIVITIES	STATE ACTIVITIES	LOCAL ACTIVITIES
V-F-4 Provides technical assistance at State workshops for users of MSRTS	V-S-4 Provides technical assistance on MSRTS to Terminal Operators and their staffs	V-L-4 Establishes procedures to make all personnel aware of the importance and existence of MSRTS not only for assisting children's educational continuity and health but also for funding
V-F-5 Participates in workshops conducted by MSRTS staff for instructional and supportive personnel and State and local directors	V-S-5 Plans and conducts staff development activities for administrators, teachers, record clerks, teacher aides, and others on effective utilization of MSRTS to the benefit of migrant students	V-L-5 Makes personnel available for training
V-F-6 Validates MSRTS on basis of criteria developed by contractual study, comparing the number of children who are eligible with those in the MSRTS data base	V-S-6 Develops and implements validation procedures for MSRTS for LEA's	V-L-6 Develops procedures for data collection and transmittal

SELF-ASSESSMENT FORM

ACTIVITY CODE ☐
TARGET/SUSPENSE DATES ☐
ACCOMPLISHMENT CHECK-OFF ☐
PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE ☐
TARGET/SUSPENSE DATES ☐
ACCOMPLISHMENT CHECK-OFF ☐
PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE ☐
TARGET/SUSPENSE DATES ☐
ACCOMPLISHMENT CHECK-OFF ☐
PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE ☐
TARGET/SUSPENSE DATES ☐
ACCOMPLISHMENT CHECK-OFF ☐
PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

FUNCTION: V. Utilization of the Migrant Student Record Transfer System (MSRTS) (Cont.)

FEDERAL ACTIVITIES	STATE ACTIVITIES	LOCAL ACTIVITIES
V-F-7 Develops and implements procedures to ensure the system safeguards confidentiality of individual data	V-S-7 Provides procedures to ensure the system safeguards provide confidentiality	V-L-7 Implements procedures to ensure confidentiality
V-F-8 Disseminates to SEA's MSRTS information as it affects operation of the system	V-S-8 Ensures compliance of LEA's utilization of MSRTS and MSRTS data	V-L-8 Implements procedures and operations
V-F-9 Performs as liaison between SEA's and MSRTS staff		

SELF-ASSESSMENT FORM

ACTIVITY CODE ☐
TARGET/SUSPENSE DATES ☐
ACCOMPLISHMENT CHECK-OFF ☐
PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE ☐
TARGET/SUSPENSE DATES ☐
ACCOMPLISHMENT CHECK-OFF ☐
PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE ☐
TARGET/SUSPENSE DATES ☐
ACCOMPLISHMENT CHECK-OFF ☐
PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE ☐
TARGET/SUSPENSE DATES ☐
ACCOMPLISHMENT CHECK-OFF ☐
PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

FUNCTION: V. Utilization of the Migrant Student Record Transfer System (MSRTS)(Cont.)

FEDERAL ACTIVITIES	STATE ACTIVITIES	LOCAL ACTIVITIES
V-F-10 Monitors contractural performance		

SELF-ASSESSMENT FORM

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐

ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐

ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐

ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐

ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

VI. INTERAGENCY COORDINATION

This section includes:

- The initiation, coordination, and dissemination of information regarding the services of various agencies which are available to migrants.
- The utilization of inputs from various agencies in program planning and implementation.
- The coordination of available programs and services to provide an optimal range of comprehensive services and to avoid duplication of efforts.

FUNCTION: VI. Interagency Coordination		Proposed Rules 116d.31(g) 116d.33(g) 116d.39(d),(e),(f)
FEDERAL ACTIVITIES	STATE ACTIVITIES	LOCAL ACTIVITIES
VI-F-1 OE requires that State applications present sufficient information to show that the resources available to SEA and LEA have been considered in planning the program and that where appropriate those resources have been connected to certain program objectives	VI-S-1 Establishes and maintains coordination with all useful State and local agencies and organizations that are serving or can serve migrant children	VI-L-1 Establishes and maintains coordination with all State and local agencies serving or who can serve migrant children
VI-F-2 Issues program directives concerning resources/services available	VI-S-2 Develops inventory of Statewide resources/services (State and Federal) available for program use	VI-L-2 Utilizes all information of resources/services available in planning local school programs
VI-F-3 Provides technical assistance to SEAs on interagency coordination matters	VI-S-3 Provides technical assistance to LEAs in initiating and coordinating services of various agencies which may be available to migrants	VI-L-3 Formalizes procedures to coordinate migrant program with school services to avoid duplication of efforts

SELF-ASSESSMENT FORM
Summary Ratings for Function

FOR PARTICIPATION (Circle One) 0 1 2 3 4	FOR PERFORMANCE (Circle One) 0 1 2 3 4

(See instructions—Section II)

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐

ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐

ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐

ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐

ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

FUNCTION: VI. Interagency Coordination (Cont.)

FEDERAL ACTIVITIES	STATE ACTIVITIES	LOCAL ACTIVITIES
VI-F-4 Plans and conducts staff development activities promotive of effective interagency coordination	VI-S-4 Plans and conducts staff development activities promotive of effective interagency coordination	VI-L-4 Plans and conducts staff development activities promotive of effective interagency coordination

SELF-ASSESSMENT FORM

ACTIVITY CODE
TARGET/SUSPENSE DATES
ACCOMPLISHMENT CHECK-OFF ☐
PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE
TARGET/SUSPENSE DATES
ACCOMPLISHMENT CHECK-OFF ☐
PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE
TARGET/SUSPENSE DATES
ACCOMPLISHMENT CHECK-OFF ☐
PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE
TARGET/SUSPENSE DATES
ACCOMPLISHMENT CHECK-OFF ☐
PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

VII. PARENT INVOLVEMENT

This section includes:

- The development and maintenance of systems and procedures to keep parents aware of services being provided for migrant children through the establishment and monitoring of programs and activities that facilitate parental participation in the education of their children and provide a vehicle for constructive parental input.

FUNCTION: VII. Parental Involvement

Proposed Rules
116d.31(f)
116d.37

FEDERAL ACTIVITIES	STATE ACTIVITIES	LOCAL ACTIVITIES
VII-F-1 Establishes guidelines for the involvement of parents in migrant programs	VII-S-1 Develops guidelines for the establishment of State and local parent councils in conformance with Federal guidelines	VII-L-1 Establishes Parent Involvement Council to ensure parental and community involvement in accordance with SEA procedures, ensuring that a representative cross section of the community comprises the Parent Involvement Council for input into the State plan
VII-F-2 Provides technical assistance to SEAs in instituting and maintaining productive parental involvement in program planning and administration	VII-S-2 Provides technical assistance to LEAs in the formation and use of parental involvement councils	VII-L-2 Utilizes technical assistance as needed for productive parental involvement in planning and administration
VII-F-3 Plans and conducts staff development activities in the area of concern of parental involvement	VII-S-3 Plans and conducts staff development activities promoting the involvement of parents in migrant education	VII-L-3 Provides a staff development procedure for dealing with parent complaints

SELF-ASSESSMENT FORM
Summary Ratings for Function

FOR PARTICIPATION	FOR PERFORMANCE
(Circle One)	(Circle One)
0 1 2 3 4	0 1 2 3 4

(See instructions—Section II)

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐
ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐
ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐
ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐
ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

FUNCTION: VII. Parental Involvement (Cont.)

FEDERAL ACTIVITIES	STATE ACTIVITIES	LOCAL ACTIVITIES
VII-F-4 Monitors State and local projects to ensure parental participation	VII-S-4 Monitors LEA's to ensure effective parental participation	VII-L-4 Monitors all parent involvement activities

SELF-ASSESSMENT FORM

ACTIVITY CODE
TARGET/SUSPENSE DATES
ACCOMPLISHMENT CHECK-OFF ☐
PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE
TARGET/SUSPENSE DATES
ACCOMPLISHMENT CHECK-OFF ☐
PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE
TARGET/SUSPENSE DATES
ACCOMPLISHMENT CHECK-OFF ☐
PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE
TARGET/SUSPENSE DATES
ACCOMPLISHMENT CHECK-OFF ☐
PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

VIII. INTERSTATE COORDINATION

This section includes:

- The facilitation of cooperation and exchange of personnel, materials, training programs, procedures and services among states.
- Liaison with other state migrant programs, projects, and services.
- Other information exchange through vehicles such as the MSRTS.

FUNCTION: VIII. Interstate Coordination

Proposed Rules
116d.39(f)
116d.40

FEDERAL ACTIVITIES	STATE ACTIVITIES	LOCAL ACTIVITIES
VIII-F-1 The Office of Education establishes guidelines for interstate coordination	VIII-S-1 Complies with USOE guidelines in providing for interstate cooperative projects	VIII-L-1 Assists the State education agency in cooperating with other State migrant programs or projects
VIII-F-2 Assists SEAs in establishing interstate guidelines to implement interstate services	VIII-S-2 Follows guidelines for cooperating in the Migrant Student Record Transfer System	VIII-L-2 Participates in the Migrant Student Record Transfer System
VIII-F-3 The Office of Education establishes interstate conferences on migrant education	VIII-S-3 Participates in interstate, regional, and national migrant education meetings	VIII-L-3 Makes recommendations to SEA on personnel to participate in interstate and regional meetings and conferences on migrant education

SELF-ASSESSMENT FORM

Summary Ratings for Function

FOR PARTICIPATION	FOR PERFORMANCE
(Circle One)	(Circle One)
0 1 2 3 4	0 1 2 3 4

(See instructions—Section II)

ACTIVITY CODE
TARGET/SUSPENSE DATES
ACCOMPLISHMENT CHECK-OFF ☐
PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE
TARGET/SUSPENSE DATES
ACCOMPLISHMENT CHECK-OFF ☐
PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE
TARGET/SUSPENSE DATES
ACCOMPLISHMENT CHECK-OFF ☐
PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE
TARGET/SUSPENSE DATES
ACCOMPLISHMENT CHECK-OFF ☐
PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

FUNCTION: VIII. Interstate Coordination (Cont.)

FEDERAL ACTIVITIES	STATE ACTIVITIES	LOCAL ACTIVITIES
VIII-F-4 Provides technical assistance to SEAs on opportunities and problems involved in interstate cooperative activities	VIII-S-4 Cooperatively works with staffs of other states in sharing exemplary program information	VIII-L-4 Cooperates with SEA in sharing program information
VIII-F-5 Plans and conducts staff development activities both fostering and involving interstate coordination		

SELF-ASSESSMENT FORM

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐

ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐

ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐

ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐

ACCOMPLISHMENT CHECK OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

IX. INFORMATION DISSEMINATION

This section [illegible]udes:

- The develo[illegible]t, maintenance, and implementation of procedures for the dissemination of information affecting the administration of migrant programs.
- The facilitation of the flow of information (findings, recommendations, evaluations, regulations and guidelines, management information, etc.) related to federally supported educational programs to interested agencies, committees, parents, the news media, and the general public.

FUNCTION: IX. Information Dissemination

Proposed Rules
116d.31(h),(i)
116d.33(g)
116d.39(a)

FEDERAL ACTIVITIES	STATE ACTIVITIES	LOCAL ACTIVITIES
IX-F-1 Develops and disseminates regulations, program guides, and other materials affecting the administration of migrant programs	IX-S-1 Maintains procedures for dissemination to LEAs all migrant education information relating to Federal and State legislation, regulations, and guidelines	IX-L-1 Establishes procedures for dissemination to migrant project personnel all migrant education information relating to Federal and State legislation, regulations, and guidelines
IX-F-2 Develops and issues guidelines for collection of comparable program information among States and disseminates tabulations to interested agencies and the general public	IX-S-2 Provides requirements for dissemination of information to be included in project applications	IX-L-2 Establishes and implements a formal plan of dissemination
IX-F-3 Facilitates information dissemination through such means as, but not limited to, the following: Program Support Packages, publications, and maintenance of a resource center on Title I Migrant Programs and concerns	IX-S-3 Establishes and implements a formal plan of dissemination of information	IX-L-3 Disseminates required management information to project schools

SELF-ASSESSMENT FORM
Summary Ratings for Function

FOR PARTICIPATION	FOR PERFORMANCE
(Circle One)	(Circle One)
0 1 2 3 4	0 1 2 3 4

(See instructions—Section II)

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐

ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐

ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐

ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐

ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

FUNCTION: IX. Information Dissemination (Cont.)

FEDERAL ACTIVITIES	STATE ACTIVITIES	LOCAL ACTIVITIES
IX-F-4 Informs the public about Federally supported education programs	IX-S-4 Provides for dissemination of migrant education information in English and other languages	IX-L-4 Implements policy for internal and external dissemination of information in English and other languages
IX-F-5 Identifies common elements of successful Title I Migrant Programs and disseminates information concerning them	IX-S-5 Provides for external dissemination of successful migrant programs education information in English and other languages	IX-L-5 Provides SEA with materials produced by local staff
IX-F-6 Provides technical assistance to States in information dissemination	IX-S-6 Allocates staff to assist in dissemination	IX-L-6 Reviews and recommends materials to be developed by LEA

SELF-ASSESSMENT FORM

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐

ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐

ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐

ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐

ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

FUNCTION: IX. Information Dissemination (Cont.)

FEDERAL ACTIVITIES	STATE ACTIVITIES	LOCAL ACTIVITIES
	IX-S-7 Disseminates on-site visitation policies and procedures	IX-L-7 Makes available any official documents or other related information to interested parents or agencies
	IX-S-8 Disseminates findings and recommendations from evaluation to LEAs	IX-L-8 Provides local news media with information on migrant projects
	IX-S-9 Shares its dissemination efforts and results with USOE, LEAs, and other SEAs	

SELF-ASSESSMENT FORM

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐

ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐

ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐

ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐

ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

FUNCTION: IX. Information Dissemination (Cont.)

FEDERAL ACTIVITIES	STATE ACTIVITIES	LOCAL ACTIVITIES
	IX-S-10 Provides a grievance procedure regarding compliance with public information requirement	

SELF-ASSESSMENT FORM

ACTIVITY CODE
TARGET/SUSPENSE DATES

ACCOMPLISHMENT CHECK-OFF ☐
PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE
TARGET/SUSPENSE DATES

ACCOMPLISHMENT CHECK-OFF ☐
PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE
TARGET/SUSPENSE DATES

ACCOMPLISHMENT CHECK-OFF ☐
PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE
TARGET/SUSPENSE DATES

ACCOMPLISHMENT CHECK-OFF ☐
PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

X. MONITORING

This section includes:

- The development and implementation of instruments and procedures to measure program compliance with respect to relevant regulations and guidelines to identify areas needing corrective action to enable appropriate steps to be taken to insure compliance.

FUNCTION: X. Monitoring

Proposed Rules
116d.31(d),(e)
116d.33(f)

FEDERAL ACTIVITIES	STATE ACTIVITIES	LOCAL ACTIVITIES
X-F-1 Notifies SEA in writing within 30 days prior to visit	X-S-1 Establishes procedures for monitoring all State and local migrant program projects	X-L-1 Facilitates and cooperates with SEA monitoring
X-F-2 Makes site visit to each State at least once a year to examine program compliance with approved SEA application	X-S-2 Maintains policies and objectives for on-site visits to projects and establishes a formalized visitation schedule to all LEAs	X-L-2 Provides formal reports on program nonconformance to SEA and takes proper steps to secure compliance
X-F-3 Develops and utilizes uniform checklist and other monitoring instruments	X-S-3 Develops and utilizes uniform checklists and other monitoring instruments	X-L-3 Utilizes uniform checklists for program monitoring

SELF-ASSESSMENT FORM

Summary Ratings for Function

FOR PARTICIPATION	FOR PERFORMANCE
(Circle One)	(Circle One)
0 1 2 3 4	0 1 2 3 4

(See instructions—Section II)

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐

ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐

ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐

ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐

ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

FUNCTION: X. Monitoring (Cont.)

FEDERAL ACTIVITIES	STATE ACTIVITIES	LOCAL ACTIVITIES
X-F-4 Conducts an exit conference with SEA personnel highlighting major findings	X-S-4 Participates in exit conference	X-L-4 Participates in exit conference
X-F-5 Documents site visit and indicates necessary corrective action	X-S-5 Responds to Federal letter re corrective actions and provides formal reports on program nonconformance to LEA and takes proper steps to secure compliance	X-L-5 Responds to SEA letter re suggested corrective actions
X-F-6 Offers technical assistance to overcome any problems found and to ensure effectiveness of SEA monitoring of LEA activities	X-S-6 Offers technical assistance to overcome any problems found	X-L-6 Establishes planned actions for implementing the suggestions of SEA

SELF-ASSESSMENT FORM

ACTIVITY CODE

TARGET/SUSPENSE DATES

ACCOMPLISHMENT CHECK-OFF ☐

PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS

CORRECTIVE STEPS	DATES

ACTIVITY CODE

TARGET/SUSPENSE DATES

ACCOMPLISHMENT CHECK-OFF ☐

PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS

CORRECTIVE STEPS	DATES

ACTIVITY CODE

TARGET/SUSPENSE DATES

ACCOMPLISHMENT CHECK-OFF ☐

PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS

CORRECTIVE STEPS	DATES

ACTIVITY CODE

TARGET/SUSPENSE DATES

ACCOMPLISHMENT CHECK-OFF ☐

PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS

CORRECTIVE STEPS	DATES

XI. EVALUATION

This section includes:

- The assessment of program evaluation needs.
- The establishment of program evaluation criteria incorporating federal and state evaluation requirements.
- The planning, development, and implementation of data collection procedures.

FUNCTION: XI. Evaluation

Proposed Rules
116d.31(d),(e)
116d.33(f)

FEDERAL ACTIVITIES	STATE ACTIVITIES	LOCAL ACTIVITIES
XI-F-1 Requires SEAs to provide an annual evaluation report	XI-S-1 Requires LEAs to provide appropriate evaluation reports	XI-L-1 Interprets the State education agency evaluation requirements and submits annual evaluation report to SEA
XI-F-2 Provides minimum criteria for evaluation	XI-S-2 Assesses total evaluation needs utilizing proper staffs and meeting Federal requirements	XI-L-2 Assesses total evaluation needs
XI-F-3 Provides Program Support Package on evaluation plans to SEAs	XI-S-3 Provides Statewide evaluation plan listing the activities necessary for implementation	XI-L-3 Develops local evaluation plan listing the activities necessary for implementation

SELF-ASSESSMENT FORM
Summary Ratings for Function

FOR PARTICIPATION (Circle One) 0 1 2 3 4	FOR PERFORMANCE (Circle One) 0 1 2 3 4

(See instructions—Section II)

ACTIVITY CODE
TARGET/SUSPENSE DATES
ACCOMPLISHMENT CHECK-OFF ☐
PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE
TARGET/SUSPENSE DATES
ACCOMPLISHMENT CHECK-OFF ☐
PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE
TARGET/SUSPENSE DATES
ACCOMPLISHMENT CHECK-OFF ☐
PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE
TARGET/SUSPENSE DATES
ACCOMPLISHMENT CHECK-OFF ☐
PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

FUNCTION: XI. Evaluation (Cont.)

FEDERAL ACTIVITIES	STATE ACTIVITIES	LOCAL ACTIVITIES
XI-F-4 Provides technical assistance to SEAs on evaluation	XI-S-4 Provides technical assistance to LEAs on evaluation	XI-L-4 Identifies resources for data gathering for use in SEA evaluation
XI-F-5 Provides a formal schedule of evaluation activities	XI-S-5 Provides a formal schedule of evaluation activities	XI-L-5 Provides scheduling of formal evaluation in the local school to fulfill SEA request
XI-F-6 Plans and conducts staff development activities in evaluation	XI-S-6 Plans and conducts staff development activities relating to program evaluation	XI-L-6 Plans and conducts staff development activities in evaluation

SELF-ASSESSMENT FORM

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐

ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐

ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐

ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐

ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

FUNCTION: XI. Evaluation (Cont.)

FEDERAL ACTIVITIES	STATE ACTIVITIES	LOCAL ACTIVITIES
XI-F-7 Compiles fiscal, statistical, and program reports evaluating the effectiveness of all Title I Migrant Programs for submission to Congress	XI-S-7 Submits to USOE copies of evaluation and end of year report	XI-L-7 Makes an annual report relating to performance in accordance with specific criteria based on program objects
XI-F-8 Provides evaluation feedback to SEA	XI-S-8 Provides evaluation feedback to LEA	XI-L-8 Receives and interprets evaluation feedback to appropriate personnel

SELF-ASSESSMENT FORM

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐

ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐

ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐

ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐

ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

XII. REPORTING

This section includes:

- The development and maintenance of forms, procedures and overall systems for reporting to appropriate agencies, advisory councils, parent involvement councils, and the general public.
- The compilation and submission of fiscal, statistical, evaluative and other types of reports to appropriate agencies, councils, and the general public.

FUNCTION: XII. Reporting

FEDERAL ACTIVITIES	STATE ACTIVITIES	LOCAL ACTIVITIES
XII-F-1 Provides uniform reporting procedures and forms to all State education agencies	XII-S-1 Maintains system for reporting of statistical data to USOE	XII-L-1 Maintains a system for reporting of statistical data to the State education agency
XII-F-2 Provides technical assistance to SEAs in meeting reporting requirements	XII-S-2 Provides technical assistance to LEAs in meeting reporting requirements	XII-L-2 Utilizes State education agency's standardized statistical reporting forms
XII-F-3 Plans and conducts staff development activities in support of the reporting function	XII-S-3 Plans and conducts staff development activities in support of the reporting function	XII-L-3 Collects and disseminates data reports and general information to Parent Involvement Councils and to the local community

SELF-ASSESSMENT FORM
Summary Ratings for Function

FOR PARTICIPATION (Circle One) 0 1 2 3 4	FOR PERFORMANCE (Circle One) 0 1 2 3 4

(See instructions—Section II)

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐

ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐

ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐

ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

ACTIVITY CODE ☐ TARGET/SUSPENSE DATES ☐

ACCOMPLISHMENT CHECK-OFF ☐ PERFORMANCE RATING ☐

NOTES, ASSIGNMENTS & ACTION MEMOS	CORRECTIVE STEPS	DATES

FUNCTION: XII. Reporting (Cont.)

FEDERAL ACTIVITIES	STATE ACTIVITIES	LOCAL ACTIVITIES
XII-F-4 Compiles fiscal, statistical, and program reports evaluating the effectiveness of State migrant programs	XII-S-4 Provides reports to State advisory committee, parent involvement councils, and general public	
XII-F-5 Submits these reports to Congress and SEAs and provides the reports to the general public	XII-S-5 Provides assistance to LEAs in collecting data relating to migrant education programs	

SELF-ASSESSMENT FORM

ACTIVITY CODE		TARGET/SUSPENSE DATES	
ACCOMPLISHMENT CHECK-OFF	☐	PERFORMANCE RATING	☐
NOTES, ASSIGNMENTS & ACTION MEMOS		CORRECTIVE STEPS	DATES

ACTIVITY CODE		TARGET/SUSPENSE DATES	
ACCOMPLISHMENT CHECK-OFF	☐	PERFORMANCE RATING	☐
NOTES, ASSIGNMENTS & ACTION MEMOS		CORRECTIVE STEPS	DATES

ACTIVITY CODE		TARGET/SUSPENSE DATES	
ACCOMPLISHMENT CHECK-OFF	☐	PERFORMANCE RATING	☐
NOTES, ASSIGNMENTS & ACTION MEMOS		CORRECTIVE STEPS	DATES

ACTIVITY CODE		TARGET/SUSPENSE DATES	
ACCOMPLISHMENT CHECK-OFF	☐	PERFORMANCE RATING	☐
NOTES, ASSIGNMENTS & ACTION MEMOS		CORRECTIVE STEPS	DATES

SECTION IV

SELF-ASSESSMENT PROFILE

Introduction

As each Summary Rating is completed, the rating should then be transferred to the Self-Assessment Profile appearing on the next page. As the Summary Ratings for each function are transferred to the Profile Page, the user will be able to obtain a comparative index of the PARTICIPATION and PERFORMANCE ratings in each area, and can therefore identify strengths and deficiencies in the overall management system and have a basis from which to work for improvement.

SELF-ASSESSMENT PROFILE

Use this form to compile summary ratings for functions entered at top of first Self-Assessment Form for each function.

	FUNCTION	PARTICIPATION (Circle)	PERFORMANCE (Circle)
I.	Identification and Recruitment	0 1 2 3 4	0 1 2 3 4
II.	Program Development	0 1 2 3 4	0 1 2 3 4
III.	Fund Allocation	0 1 2 3 4	0 1 2 3 4
IV.	Fiscal Management	0 1 2 3 4	0 1 2 3 4
V.	Utilization of the Migrant Student Record Transfer System	0 1 2 3 4	0 1 2 3 4
VI.	Interagency Coordination	0 1 2 3 4	0 1 2 3 4
VII.	Parent Involvement	0 1 2 3 4	0 1 2 3 4
VIII.	Interstate Coordination	0 1 2 3 4	0 1 2 3 4
IX.	Information Dissemination	0 1 2 3 4	0 1 2 3 4
X.	Monitoring	0 1 2 3 4	0 1 2 3 4
XI.	Evaluation	0 1 2 3 4	0 1 2 3 4
XII.	Reporting	0 1 2 3 4	0 1 2 3 4

DO NOT SIGN THIS FORM but complete the following information for future reference or for research efforts utilizing anonymous assessments.

LEVEL: ☐ Federal ☐ State ☐ Local

POSITION TITLE: ____________________

DATE: ____________________

APPENDICES

APPENDIX A. GLOSSARY OF TERMS

GLOSSARY

1. Activity, Management - Action required at the responsible level to comply with program mandates and good management functions in the implementation of a particular management function.
2. Assessment Tool - Instruments with which the achievement of a measurable program goal can be objectively determined.
3. Educationally Deprived Children - Those children who have need for special educational assistance in order that their level of educational attainment may be raised to that appropriate for children of their age. The term includes children who are handicapped or whose needs for such special educational assistance result from poverty, neglect, delinquency, or cultural or linguistic isolation from the community at large.
4. Elementary School - A day or residential school which provides elementary education, as determined under State law and "Elementary School Level" means the educational level at which elementary education is provided as determined under State law.
5. Entitlement - The total amount available for a grant for the fiscal year as determined by the Commissioner of Education.
6. Formerly Migratory Child (Five Year Migrant) - A child who has been an interstate or intrastate migrant but who, along with his parent or guardian has ceased to migrate within the last five years and now resides in an area in which a program for migratory children is to be provided.

7. FTE Count (Full-Time Equivalency Count) - A formula for the calculation of length of time a student is in school to determine funding allocations.

8. GEPA - The General Education Provisions Act, Title IV of Public Law 90-247 as amended.

9. Guidelines - Suggestions set out to provide program direction, compliance to which is not necessarily enforceable by law.

10. Interstate Migratory Child - A child who has moved with a parent or guardian within the past year across State boundaries in order that a parent, guardian, or member of his immediate family might secure temporary or seasonal employment in agriculture or in related food processing activities.

11. Intrastate Migratory Child - A child who has moved with a parent or guardian within the past year across school district boundaries within a State in order that a parent, guardian, or member of his immediate family might secure temporary or seasonal employment in agriculture or in related food processing activities.

12. Local Educational Agency (LEA) - A public board of education or other public authority legally constituted within a State for either administrative control or direction of, or to perform a service function for public elementary or secondary schools in a city, county, township, school district or other political subdivision of a State, or such combination of school districts or counties as

are recognized in a State as an administrative agency for its public elementary or secondary schools.

13. Management Function - A component part of a management system that spans a broad area or category of overall program direction. The sum of management functions is a Management System.

14. Migrant Student Record Transfer System - A computer-based data system which facilitates the efficient transmittal of student records of migrant children as they transfer among school districts while moving in the migrant stream.

15. Performance Objectives - Goals for program outcome which are both observable and measurable.

16. Project - An activity or set of activities proposed by a State or local educational agency to meet certain of the special educational needs of migratory children.

17. Regulations - Enforceable rules which provide program direction and which are promulgated by agencies responsible for programs authorized by a particular statute.

18. Rules - See Regulations.

19. Secondary School - A day or residential school which provides secondary education, as determined under State law, except that it does not include any education provided beyond grade 12, and "Secondary School Level" means the educational level (not beyond grade 12) at which secondary education is provided, as determined under State law.

20. Self-Assessment - An evaluation of activity (function) completion based on criteria set by manager at the responsible level.

21. State Education Agency (SEA) - The organization primarily responsible for the State supervision of public elementary and secondary schools.

22. State Program - The overall plan for services, activities, personnel, and materials to migratory children in a particular area by a State educational agency, either directly or through a particular local educational agency.

23. Statute - An act of Congress signed into law by the President.

24. Suspense Date - An estimated or fixed target time for a completion of an activity or set of activities.

APPENDIX B. PROPOSED FEDERAL RULES

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE

Office of Education

[45 CFR Part 116d]

EDUCATIONALLY DEPRIVED CHILDREN

Grants to State Educational Agencies for Programs To Meet the Special Educational Needs of Migratory Children

In accordance with section 503 of the Education Amendments of 1972 (Pub. L. 92–318) and pursuant to the authority contained in section 122 of Title I of the Elementary and Secondary Education Act (20 U.S.C. 241c–2) as enacted by Pub. L. 93–380, the Commissioner of Education, with the approval of the Secretary of Health, Education, and Welfare, proposes to amend Title 45 of the Code of Federal Regulations by adding a new Part 116d to read as set forth below.

At present there are no guidelines related to Part 116d. Should such guidelines be issued in the future, they will be published in the FEDERAL REGISTER and will be limited to material in the nature of suggestions or recommended courses of action for meeting certain mandatory requirements set forth in the regulations.

1. *Program purposes; Amendments made by Pub. L. 93–380.* Part 116d as set forth in this notice of proposed rulemaking contains those provisions which are applicable to grants to State educational agencies under section 122 of Title I of the Act for programs for migratory children of migratory agricultural workers and migratory fishermen. Provisions of regulations previously published as permanent regulations in Part 116 governing grants to State educational agencies for migratory children of migratory

agricultural workers have been separated from the provisions for grants to other agencies and are now contained in proposed Part 116d. This new part also reflects new statutory provisions enacted by Pub. L. 93–380 pertaining to migratory children of migratory fishermen and use of the migrant student record transfer system, as well as provisions previously stated in guidelines and instructions for applications.

2. *Effect of Office of Education General Provisions Regulations.* Assistance provided under this part is also subject to applicable provisions contained in the overall Office of Education General Provisions Regulations, published in the FEDERAL REGISTER in 38 FR 30654 (November 6, 1973), and now set forth in 45 CFR Parts 100–100c, in connection with the same study under section 503 of the Education Amendments of 1972 of which this publication is a part. 45 CFR Parts 100–100c relate to fiscal, administrative and property management, monitoring and reporting of program performance, accountability for Federal funds, and other matters. It should be noted that the program for migratory children under this part is considered to be a State-administered program which may involve financial assistance to local educational agencies as subgrantees; therefore, unless otherwise specified, the provisions of Part 100b of 45 CFR, rather than Part 100a, apply.

3. *Effect of Part 116.* A new Part 116, published as a notice of proposed rulemaking in the FEDERAL REGISTER in 40 FR 11472 (March 11, 1975) sets forth general requirements applicable to all programs funded under Title I of the Act including grants for programs for migratory children. Among the significant provisions in the new Part 116 which are applicable to programs under Part 116d are provisions pertaining to State administrative and technical assistance (§ 116.4), reports by State educational agencies (§ 116.7), withholding of payments by the Commissioner (§ 116.20), prohibitions against supplanting of State and local funds with Federal funds and against providing services which the applicant agency is required by law to provide (§ 116.30), the relation of Title I projects to other programs (§ 116.31), the use of education aides (§ 116.32), measurement of educational achievement and evaluation of programs (§ 116.33), dissemination and utilization of results of educational research and demonstrations (§ 116.34), public information (§ 116.35), administrative control of Title I property (§ 116.36), construction and equipment (§ 116.38), reimbursement for parent council expenses (§ 116.40); staffing for programs and projects (§ 116.41), and training (§ 116.42).

4. *New and clarified provisions.* The significant new and clarified provisions in this part are as follows:

(a) Section 116d.2 provides definitions of "fishing activity" and "migratory fishermen";

(b) Section 116d.3(a) provides that the application submitted by a State educational agency to the Commissioner under this part shall constitute the annual program plan which the applicant must submit as required by section 434 (b) of the General Education Provisions Act enacted by Pub. L. 93–380;

(c) Sections 116d.5 and 116d.6 concern the State educational agency's designation of and arrangements with agencies within the State which, either by service contract or, in the case of local educational agencies, by subgrant operate programs for migratory children;

(d) Section 116d.9 requires that the State educational agency either administer directly the construction of facilities and the acquisition of property and retain title to such property and facilities or, if title is in another public agency, retain the right to use such facilities and property in programs and projects under this part;

(e) Section 116d.22 sets forth the criteria by which the Commissioner will determine what amount of its total grant under this part a State educational agency is entitled to receive for any fiscal year;

(f) Section 116d.31 contains an expanded statement of the program description including the needs assessment to be set forth in each State educational agency's application. The introduction to this section contains a statement emphasizing how the special educational needs of migratory children may be related to their migrant status;

(g) Section 116d.32 clarifies the key functions of a State educational agency under this part and states which services performed by such agency are to be charged to program funds and which services are to be charged to administrative funds;

(h) Section 116d.36 sets forth the comparability requirement applicable to migrant programs. This requirement is mandated by section 122(a)(1)(C) of Title I. It necessarily differs from that requirement in § 116a.26 governing grants to local educational agencies. In § 116a.26, services provided with State and local funds in Title I project areas are compared to such activities provided in non-project areas. This comparison is not meaningful in the migrant program since the children's eligibility for services and a local educational agency's participation in the program is unrelated to any concept of geographic area. Rather, under this part, migratory children must have access to State and local facilities and receive services comparable to those ordinarily provided to non-migrant children residing in the same attendance area. An exception is made where a project for migratory children is initiated at a time when State and local facilites and services would not ordinarily be provided to non-migratory children.

Unlike § 116a.26, there is is requirement for a comparability report calling for numerical comparisons based on pupil-teacher ratio and per pupil expenditure for instructional staff. Rather, as a condition for approval of an application, there is a requirement for an assurance by the State educational agency that it shall not conduct a program for migratory children under this part through a local educational agency which does not meet the comparability requirement.

If, after an application is approved, the Commissioner finds that there has been a failure by the State to comply with the assurance regarding comparability in migrant programs, the provision of § 116.20 of Part 116 pertaining to withholding of funds by the Commissioner will apply. Failure to comply with Part 116a, § 116a.26, comparability requirements applicable to the program for grants to local educational agencies, will not affect a local educational agency's participation in the migrant program; conversely, failure to comply with § 116d.36 of this part will not affect a local educational agency's eligibility for funds under Part 116a.

(i) Section 116d.38 contains an expanded statement of the conditions under which supporting services (including day care) may be provided under this Part.

(j) Section 116d.37 specifies the required extent of parental involvement in the planning and implementation of State programs. This section mandates the establishment of one or more parent advisory councils in each State conducting a migrant program.

(k) Section 116d.39 expands and clarifies the criteria for approval of State educational agency applications.

5. *Citations of legal authority.* As required by section 431(a) of the General Education Provisions Act (20 U.S.C. 1232(a)) and section 503 of the Education Amendments of 1972, a citation of statutory or other legal authority for each section of the regulations and guidelines has been placed in parentheses on the line following the text of the section.

On occasion, a citation appears at the end of a subdivision of the section. In that case, the citation applies to all that appears in that section between that citation and the immediately preceding citation. When the citation appears only at the end of the section, it applies to the entire section.

6. *Opportunity for public hearing.* Pursuant to section 503(c) of the Education Amendments of 1972, the Commissioner will provide interested parties an opportunity for a public hearing on these regulations and guidelines, as follows:

A hearing will take place at the U.S. Office of Education on August 27, 1975, in the auditorium of Regional Office Building Three (ROB–3) located at 7th and D Streets SW., Washington, D.C.; beginning at 10 a.m. The purpose of the hearing is to receive comments and suggestions on the published materials.

Parties interested in attending the hearing should notify the Office of Education, Room 2085, 400 Maryland Avenue SW., Attention: Chairman, Office of Education Task Force on Section 503, and are urged to submit a written copy of their comments with such notification. Each party planning to make oral comments at the hearing is urged to limit his presentation to a maximum of fifteen minutes.

Written comments and recommendations may also be sent to the above address. All relevant material received prior to the date of the hearing will be considered. Comments and suggestions submitted in writing will be available for review in the above office between the hours of 8:30 a.m. and 4 p.m., Monday through Friday of each week.

(Catalog of Federal Domestic Assistance 13.429, Educationally Deprived Children—Migrants)

Dated: June 9, 1975.

T. H. BELL,
Commissioner of Education.

Approved: June 30, 1975.

CASPAR W. WEINBERGER,
Secretary of Health, Education, and Welfare.

Subpart A—General

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116d.41 Commissioner's disapproval of State applications; notice and hearing.

AUTHORITY: Sec. 101(a)(2)(E), Pub. L. 93-380, 88 Stat. 482 (20 U.S.C. 241c-2), unless otherwise noted.

Subpart A—General

§ 116d.1 Applicability.

(a) These regulations govern programs and project for which funds are provided under Title I of the Elementary and Secondary Education Act of 1965, as amended, to meet the special educational needs of migratory children of migratory agricultural workers and migratory fishermen.

(b) Except as otherwise provided, assistance under this Part is subject to applicable provisions contained in Part 116 (general requirements relating to Title I of the Act) and Part 100b of this chapter (relating to fiscal, administrative, property management and other matters).

(20 U.S.C. 241c-2)

§ 116d.2 Definitions.

"Agricultural activity" means any activity related to crop production, including but not limited to soil preparation and storage, curing, canning or freezing of cultivated crops. Activities on farms or ranches related to the production and processing of milk, poultry, livestock (for human consumption) and fish are also considered to be agricultural activities. Under the foregoing definition, cutting, transporting, and sawing of timber are not considered to be agricultural activities. Operations involved in forest nurseries and fish farms, however, are considered to be agricultural activities.

(20 U.S.C. 241c-2)

"Currently migratory child" means a child who has moved with a parent or guardian within the past twelve months across a school district boundary or boundaries in order that a parent, guardian or member of his immediate family might secure temporary or seasonal employment in an agricultural or fishing activity. In those cases where the school district boundary coincides with a State boundary, "currently migratory child" means a child who has moved with a parent or guardian within the past twelve months across a school attendance area boundary or boundaries within the school district boundary in order that a parent, guardian or member of his immediate family might secure temporary or seasonal employment in an agricultural or fishing activity.

(20 U.S.C. 241c-2)

"Fishing activity" means any activity directly related to the raising and catching of fish and shellfish from streams, lakes, or oceans, and to the processing of such fish for initial distribution through commercial market channels.

(20 U.S.C. 241c-2)

"Formerly migratory child" means a child who, with the concurrence of his parents, is deemed to be a migratory child on the basis that he has been a currently migratory child as defined in this section but has ceased to be a currently migratory child within the last five years and currently resides in an area served by an agency carrying out a program or project under this part.

(20 U.S.C. 241c-2(a)(3))

"Migratory agricultural workers" means those persons who have moved from one school district in a State to another in the same State or to one in another State for the purpose of finding temporary or seasonal employment in one or more agricultural activities as defined above.

(20 U.S.C. 241c-2)

"Migratory fishermen" means those workers who have moved out of a school district to another in the same State or to one in another State for the purpose of finding temporary or seasonal employment in one or more fishing activities as defined above.

(20 U.S.C. 241c-2; Sen. Rept. No. 93-1026, p. 143 (1974))

"Project" means an activity or set of activities provided under this part to migratory children in a particular area by a State educational agency, either directly or through a particular local educational agency, which is designed to meet the purposes of the applicable State program as defined in this section.

(20 U.S.C. 241c-2)

"State program" means the overall plan for services, activities, personnel and materials set forth in a State application for a grant under this part to provide special education to migratory children of migratory agricultural workers and migratory fishermen.

(20 U.S.C. 241c-2)

Subpart B—Responsibilities of State Educational Agencies

§ 116d.3 State applications.

(a) The State educational agency of any State may apply to the Commissioner for a grant under this part. The application submitted by the State educational agency under this section shall constitute the annual program plan required by section 434(b) of the General Education Provisions Act, and must be received no later than a date established by the Commissioner for the fiscal year in which the State program is to be operated.

(b) Each such application shall be signed by the chief executive officer of the State educational agency or his designated representative and contain the assurances required by this part and the information required by Subpart D of this part.

(c) The application shall include a certificate by the State attorney general or other appropriate State legal officer to the effect that the agency submitting the application has the authority under State law to perform the duties and functions of a State educational agency under Title I of the Act and the regulations in this part, including those arising from the assurances given.

(d) The application shall be set forth in the standard application form for Federal assistance (non-construction programs) as prescribed by § 100a.43, Part 100a of this chapter.

(20 U.S.C. 241c-2, 1232c(b))

§ 116d.4 Assurance by State agency as to use of payments.

Each application by a State educational agency for a grant under this part shall contain an assurance that except as provided in § 116d.32 for administrative expenses, payments to a State educational agency under this part shall be used only for programs and projects carried out pursuant to an application approved by the Commissioner under this part, and which in all respects comply with the applicable requirements of Title I of the Act and the regulations in this part and the relevant provisions of Parts 100b and 116 of this chapter.

(20 U.S.C. 241c-2(a)(1)(A))

§ 116d.5 Designation of operating agencies.

The State educational agency in its application shall identify the agency or agencies it has designated to operate the proposed educational program for migratory children of migratory agricultural workers and migratory fishermen. If all or part of the State program is to be operated directly by the State educational agency, then such agency shall advise the Commissioner of the personnel and other resources in that agency (including any resources to be made available to that agency by service contract) that will be made available to conduct the program. If all or part of the State program is to be operated through a local educational agency or agencies as subgrantee(s), then the State educational agency shall advise the Commissioner of the names and locations of such agency or agencies.

(20 U.S.C. 241c-2(a)(1), 1232c(b))

§ 116d.6 Arrangements with operating agencies.

The arrangements which a State educational agency makes with local educational agencies to operate projects under this part shall be set forth in the standard application form for Federal assistance (non-construction programs) as prescribed by Part 100a, § 100a.43 of this chapter. These documents shall describe the objectives to be achieved by the agency for each grade level, the total estimated number of children to be served by the agency by grade level, the services to be provided to achieve the stated objectives, the types and number of staff to be employed, and an appropriate budget. Each operating agency shall maintain records of all financial transactions pertaining to the project and shall provide timely financial reports including the financial status report prescribed by Part 100b, § 100b.403 of this chapter, and the performance report prescribed by Part 100b, § 100b.432 of this chapter, to the State educational agency. Within ten days after the State educational agency has approved a particular project, the State educational agency shall send the Commissioner a copy of the project application as approved by that agency. The Commissioner will review the project application to determine whether it conforms to the State program as set forth in the State application approved by the Commissioner.

(20 U.S.C. 241c-2(a)(1), 1232c(b))

§ 116d.7 Supervision of programs and projects.

Each State educational agency shall set forth in its application a description of the procedures and resources it proposes to use to insure that the proposed programs and projects will be carried out in accordance with the State application as approved by the Commissioner.

(20 U.S.C. 241c-2(a)(1)(A), 1232c(b))

§ 116d.8 Amendments to applications.

The State educational agency's application must be appropriately amended prior to any material change in the administration of an approved State program, or in the organization, policies, or operations affecting an approved State program. All information required by Subpart D of this part and not previously provided shall be submitted to the Commissioner as an amendment to the application. Amendments will be required by the Commissioner if changes are made in Federal appropriations or laws governing an approved State program.

(20 U.S.C. 241c-2(a)(1), 1232c(b))

§ 116d.9 Title and control of property.

Authority to acquire property, to construct and equip school facilities approved by the Commissioner, and to retain title to such property and facilities shall, unless precluded by law, be vested in the State educational agency. In the event the State educational agency is precluded by law from exercising the functions described in the preceding sentence, the authority to exercise such functions shall be vested in the appropriate State agency authorized by State law to exercise such functions. The State agency exercising such functions shall retain the right to use property and facilities acquired under this part and to move them to sites where such property and facilities can best be utilized for programs and projects under this part.

(20 U.S.C. 241e(a)(3), 241c-2(a)(1)(C), 1232c(b))

Subpart C—Amounts Available for Grants and Payments

§ 116d.21 Total amounts available for grants.

Except as provided in sections 124 and 125 of Title I of the Act, as amended, grants which may be made available for use in any State for any fiscal year under this part for programs and projects designed to meet the special educational needs of migratory children of migratory agricultural workers and migratory fishermen shall be determined in accordance with section 122(b) of Title I of the Act, as amended and for Puerto Rico, in accordance with section 122(b) of Title I and section 843 of Pub. L. 93-380. For the purpose of this section, the Commissioner will determine the number of migratory children in a State, including current and former migratory children, on the basis of statistics made available by the migrant student record transfer system or such other system as he may determine most accurately and fully reflects the actual number of migrant students.

(20 U.S.C. 241c-2(b))

§ 116d.22 Entitlement.

(a) *Entitlement based on estimated cost of program.* The State educational agency of a State shall be entitled to receive a grant equal to the estimated cost of the program as approved by the Commissioner if the total amount available for a grant for a fiscal year has been determined in accordance with § 116d.21, and if the Commissioner has approved an application for a grant.

(b) *Informational basis for determining amount of entitlement.* The amount of the grant to which a State educational agency shall be entitled to receive under this section shall be determined by the Commissioner on the basis of the the best information available to him at the time he approves the application, including information on the number of children to be served and the nature and scope of the program. The Commissioner may redetermine this amount at any time during the fiscal year if the best information subsequently available should demonstrate a basis for such redetermination.

(c) *Consideration of costs of past and future activities and amount of available funds.* The information on which the Commissioner will determine the amount a State educational agency will receive under this section will include but not be limited to:

(1) The total amount available to the State agency for its grant under § 116d.21,

(2) The estimated cost of program activities completed to date under preceding grant awards and the number of children who have been or are being served,

(3) The estimated cost of other activities to be initiated before the end of the current project period (pursuant to the preceding grant award) and the estimated number of children to be served,

(4) The estimated cost of providing, if needed, special educational services that could be initiated before the end of the current project period and the number of children who could be served thereby if additional funds were made available, and

(5) The unused amount from the State educational agency's grant pursuant to the preceding grant award.

(20 U.S.C. 241c-2(a)(1), 241c-2(b))

(d) *Reallocation of excess funds.* If the Commissioner determines that the amount available for grants for a State as determined in accordance with § 116d.21 exceeds the amount determined to be needed under this section he shall, to the extent necessary, allocate such excess to other State educational agencies whose total amount available for grants under § 116d.21 would otherwise be insufficient to serve eligible children in that State.

(20 U.S.C. 241c-2(b); Sen. Rep. No. 634, 91st Cong., 2nd Sess. 12-13 (1970))

§ 116d.23 Payments.

The Commissioner shall make all payments of funds under this part in accordance with the requirements set out in Subpart E of Part 100b of this chapter. The amount of the payments to a State educational agency under this part shall not exceed the amount of the grant to which that agency is entitled as determined by the Commissioner in accordance with § 116.22.

(20 U.S.C. 241c-2, 1232c)

§ 116d.24 Special arrangements by Commissioner to conduct migrant programs.

If the Commissioner determines that a State is unable or unwilling to conduct educational programs for migratory children of migratory agriculturel workers or of migratory fishermen, or that it would result in more efficient and economic administration or, that it would add substantially to the welfare or educational attainment of such children, he may make special arrangements with other public or nonprofit private agencies to carry out the purposes of this section in one or more States and, for this purpose, he may use all or part of the total of grants available for any such State under this section.

(20 U.S.C. 241c-2(a)(2))

Subpart D—Program Requirements

§ 116d.31 Program descriptions.

Each application by a State educational agency under this part shall set forth a program for instruction, and (subject to the provisions of §§ 116d.38 and 116d.39 (c), respectively) for supporting services and services to preschool children, which is designed to meet the special educational needs of migratory children of migratory agricultural workers or migratory fishermen. Such special educational needs particularly include needs as a result of conditions produced by the children's current or former migrant status, such as disruption of educational continuity and cultural, linguistic, or occupational isolation. The application shall contain:

(a) An identification of the areas within the State in which migratory children are expected to reside, the estimated number of such children for each area and the approximate dates of their arrival in and departure from those areas, and the sources and methods used to calculate these estimates;

(b) A statement showing separately for each category the estimated number of currently and formerly migratory children in the State and the number in each category to be served;

(c) A summary of the information (including information from other State educational agencies and the migrant student record transfer system) concerning the special educational needs of the migratory children to be served. The summary should include all available information with respect to educational performance and cultural and linguistic background which is relevant to assessing the educational needs of the children to be served;

(d) A description of each service to be provided as a means of accomplishing the stated objectives of the program, the estimated number of children by age and anticipated grade placement (including children enrolled or to be enrolled in private schools), a description of any inservice training (including the type of training, frequency and number and type of staff members who will participate in that training), the type and number of staff to be employed, and the facilities and materials to be used;

(e) A statement of the objectives of the proposed program, the related performance criteria, and the procedures and instruments by which the effectiveness of the program will be evaluated in accordance with Part 116, § 116.33;

(f) A description of the agency's program for involving parents and appropriate representatives of migratory children in advising on the planning, implementation, and evaluation of the State program and of projects at the local level in accordance with the requirements of § 116d.37. The application shall describe how the parent advisory council(s) will be involved in the planning, operations, and evaluation of the State program and local projects, how members will be selected, and the schedule for selection, training and participation of the council(s);

(g) A description of the State and locally-funded facilities and services to which migratory children will have access and the provisions made to insure compliance with the assurance required by § 116d.36;

(h) A summary of the types of information (in addition to the migrant student record transfer system) which the State educational agency will pass on to State educational agencies in other States about the migratory children to be served and the agency's plan for insuring as much continuity as possible in the education of such children; and

(i) A description of the State educational agency's plan for meeting the requirements of Part 116, § 116.35, pertaining to dissemination of public information.

(20 U.S.C. 241c-2(a), 1232c(b))

§ 116d.32 State budgets.

Each State application shall contain a budget in a form prescribed by the Commissioner showing the estimated costs for each service and the total costs of all services as described in the application. The budget shall also show the estimated amount of unobligated funds which are available from the preceding fiscal year's appropriation and shall show separately the amount applied for from the current fiscal year's appropriation.

(20 U.S.C. 1232c(b))

§ 116d.33 Services provided by the State educational agency.

The State educational agency for which the Commissioner has approved an application under this part shall be responsible for the proper and efficient administration in the State of all programs under this part. Specifically these duties include:

(a) Ensuring compliance with the State educational agency's assurances to the Commissioner;

(b) Preparation of the State educational agency's application to the Commissioner;

(c) Providing instructions to applicant agencies designated under § 116d.5 to operate programs for migrant children;

(d) Reviewing proposals from such agencies;

(e) Fiscal control and fund accounting;

(f) The design and preparation of State evaluation reports;

(g) Dissemination of information.

Services provided by the State educational agency that are unique to the program under this part (e.g., Statewide recruitment and identification of migrant children, State and local interagency coordination, and implementation of the migrant student record transfer system), or are the same or similar to services provided by local educational agencies under Part 116a may be charged to program funds. All other services provided by the State educational agency under this part shall be charged to funds paid to the State pursuant to section 143(b) of the Act as amended and § 116.4(b) of Part 116 of this chapter.

(20 U.S.C. 241g, 1232c(b))

§ 116d.34 Funding of subgrantee projects; requirements for adjustment of funds not needed by subgrantee.

Each State educational agency receiving a grant under this part shall promulgate appropriate rules to ensure that subgrantees who carry out projects under this part shall avoid imprudent, wasteful, extravagant or otherwise improper expenditures of funds which would defeat the intent of the Act to meet the special educational needs of migratory children. In keeping with the proper and efficient administration of the State program for migratory children, such rules shall provide for appropriate adjustment, based on periodic reports on the implementation of the project, of expenditures actually incurred, so as to avoid the obligation of funds by the subgrantee in excess of actual need. Adjustments may be effected by redistribution of unneeded funds to other subgrantees in the State who demonstrate need for such funds. All such adjustments shall be reflected by appropriate amendment to the subgrantee's project application and its final fiscal report.

(20 U.S.C. 241c–2; 1232c(b))

§ 116d.35 Inclusion of former migratory children.

Formerly migratory children may participate in projects which include currently migratory children, or may participate in projects developed solely for such formerly migratory children: *Provided*, That:

(a) Their participation will not prevent the participation of currently migratory children nor dilute the effectiveness of programs for such children;

(b) There is on file valid documentation of the child's eligibility status; and

(c) There is on file the signature of the parent or guardian indicating consent to the child's participation.

(20 U.S.C. 241c–2(a)(3))

§ 116d.36 Comparable access of migratory children to State and locally funded educational facilities and services.

(a) *Assurance by State educational agency.* Each application by a State educational agency for a grant under this part shall contain an assurance that, during the time migratory children reside in the State, the State educational agency shall not conduct a program for migratory children under this part through a local educational agency which does not provide access by migratory children to State and locally funded educational facilities and services comparable to those ordinarily provided to nonmigrant children who reside in the attendance area in which the migratory children are served. The preceding sentence shall not apply in the case of a project initiated at a time during which State and locally-funded educational facilities and services are not ordinarily available to non-migratory children; however, this exception shall not be construed to limit or modify the requirements contained in Part 116, § 116.30 relating to supplanting of State and local funds, and services which by law the applicant is required to provide to migratory children. Nothing in this section shall be construed to limit or modify the requirement of Part 116a, § 116a.26, paragraphs (g) and (h), pertaining to maintenance of comparability in school attendance areas where projects funded under Pub. L. 89–10 section 2 and Part 116a are being conducted, and which serve migratory children.

(b) *Comparable access defined.* The requirements of paragraph (a) of this section will be deemed to be satisfied only if migratory children have access to all State and locally funded instructional, health, nutrition and transportation services on the same basis as provided by the local educational agency to non-migratory children residing in the attendance area where migratory children are being served.

(20 U.S.C. 241c–2(a)(1)(C), 241e(a)(3)(C))

§ 116d.37 Parental involvement.

The State educational agency's application shall demonstrate that:

(a) the State educational agency has, (to the extent feasible considering the parents' time of residence in the State) consulted with the parents of children to be served or who are being served, and considered the views of such parents with respect to the planning of the State program and;

(b) one or more advisory councils will be established in the State composed of parents of children to be served or who are being served and of other persons knowledgeable of the needs of migratory children, and that such council(s) will be consulted and their views considered concerning the operation and evaluation of the present State program and local projects and the planning of future programs and projects.

(20 U.S.C. 241c–2(a)(1)(C), 241e(a)(8), 1231d))

§ 116d.38 Supporting services.

(a) *General.* Health, welfare and other supporting services may be provided under this part, but only to the extent necessary to enable eligible school age and preschool children to participate effectively in instructional services that are designed to bring about an improvement of educational performance.

(b) *Day care services.* Day care for infants and very young children shall not be provided under this part except as a support service to eligible preschool and older children and then only upon specific application to the Commissioner with sufficient information to enable him to determine that such care as described in the application is:

(1) Not available from other public or private agencies;

(2) Essential to enable preschool and school age migratory children to participate in the instructional program under this part; and

(3) Not extravagant in view of the cost, the number of children who would receive day care, the number of eligible children involved, and the effect the availability of such services would have on the attendance and participation of such eligible preschool and school age migratory children in instructional services provided under this part.

(c) *Required information.* The information provided in support of a request for funds under paragraphs (a) or (b) of this section shall include the estimated cost, a description of the specific services, and the pertinent conditions indicating a need for such services, including the estimated number of children requiring the service, the public and private agencies contacted to provide such services and their written responses, and a detailed account of the effect that the absence of such service or services has had on the attendance and participation of children in previous programs and would be expected to have on the attendance and participation of children in the program covered by the application. The application shall also include the estimated number of eligible preschool and school age children whose attendance and participation would be improved by the availability of such services and the extent of the improvement.

(20 U.S.C. 241c–2(a)(1)(A), (D))

§ 116d.39 Criteria for the approval of State applications.

The Commissioner shall approve a State application only upon his determination that it contains the information required by § 116d.31, and demonstrates compliance with all other requirements in this part and applicable requirements of Parts 100b and 116, and demonstrates that:

(a) Payments will be used for programs and projects (including the acquisition of equipment and where necessary the construction of school facilities) which are designed to meet the special educational needs of migratory children of migratory agricultural workers or of migratory fishermen, and to coordinate these programs and projects with similar programs and projects in other States, including the transmittal of pertinent information with respect to school records of such children;

(b) Services to be provided show reasonable promise of meeting the special educational needs of migratory children of migratory agricultural workers and migratory fishermen as demonstrated by the needs assessment required by § 116d.31(c), particularly with respect to improvements in the educational performance of children in the basic skills of reading, oral and written communication and mathematics; and that payments under this part will be used for programs and projects which are of sufficient size, scope and quality to give reasonable promise of substantial progress towards meeting such needs;

(c) Provision will be made for the preschool educational needs of migratory agricultural workers and migratory fishermen if (considering the amount of funds available) such provision will not detract from the operation of programs and projects for such children of school age;

(d) The State program has been planned and will be operated in coordination with programs administered under Part B of Title III of the Economic Opportunity Act of 1964;

(e) In the planning of the State program described in the application, the State educational agency has consulted with other agencies, including the State educational agencies which have provided services for such children and are knowledgeable of their needs; and

(f) The State educational agency's plan for insuring continuity in the education of migratory children shall describe the procedures to be used for coordinating programs and projects with similar programs and projects in other States and shall describe the procedures to be used for the agency's full participation in and full utilization of the migrant student record transfer system established by the Commissioner.

(20 U.S.C. 241c–2)

§ 116d.40 Cooperative programs.

Two or more State educational agencies may submit to the Commissioner a joint application for a program or project involving children to be served by all of those particular agencies. By an appropriate interagency agreement, one such agency with the approval of the Commissioner may administer such a program or project.

(20 U.S.C. 1232c(b)(1))

§ 116d.41 Commissioner's disapproval of State application; notice and hearing.

The Commissioner shall not finally disapprove an application of a State educational agency under this part except after reasonable notice and opportunity for hearing to that agency.

(20 U.S.C. 241c-2(a)(1))

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NOTE TO USERS

This Management Guide has been designed not as a static set of forms but as a dynamic document that may be readily adapted to varying situations within Migrant Programs. We encourage you to do that, to tailor the Management Guide to your own specific needs. As you do this, or whenever you identify an area of the Guide that can be improved, it would be appreciated if you would share your improvement or discovery with us in order that we may modify and improve the Guide for all users. Please forward your comments and suggestions to:

Mr. Robert Youngblood
Director, Migrant Program
Title I, ESEA
State Department of Public Instruction
Raleigh, North Carolina 27602

Thank you for your help. With your assistance we hope to make this Management Guide an even more effective tool for Migrant Program Managers.